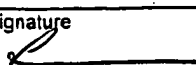
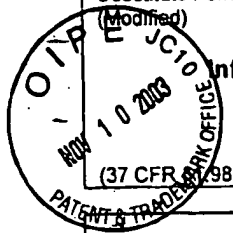


Substitute Form PTO-1449 (Revised)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-007002	Application No. 110/623,819
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Klaus Höhn et al.	
		Filing Date July 21, 2003	Group Art Unit

U.S. Patent Documents								
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate	
	AA							
Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AB	49-1221		Japan				
	AC	5-152609		Japan			X	
	AD	7-99345		Japan			X	
	AE	54-41660		Japan				
	AF	52-45181		Japan				
	AG	49-112577		Japan				
	AH	50-43913		Japan			X	
	AI	47-17684		Japan				
	AJ	46-7462		Japan				
	AK	4-63162		Japan				
	AL	5-63068		Japan				
	AM	59-50455		Japan				
	AN	8-7614		Japan			X	
	AO	2,927,229		Japan			X	
	AP	4-63163		Japan				
	AQ	1,332,462		Great Britain				
	AR	63-280467		Japan			X	
	AS							
	AT	G9013615.2		Germany				
	AU	0486052A1		EP				
	AV	2835184C2		Germany				
	AW	1,589,964		Great Britain				
	AX	2053953		Great Britain				
	AY							

Examiner Signature 	Date Considered 12/15/04
EXAMINER: Initials citation considered. Draw line through citation if not in next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-007002	Application No. 10/623,819
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Klaus Höhn et al.	
		Filing Date July 21, 2003	Group Art Unit



U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
01	BA	4,495,514	Jan 22, 1985	Lawrence et al			
	BB	4,734,619	Mar 29, 1988	K. Havel			
	BC	5,369,289	Nov 29, 1994	Tamaki et al			
	BD	5,602,418	Feb 11, 1997	Imai et al			
	BE	5,652,438	Jul 29, 1997	Sassa et al			
	BF	5,656,832	Aug 12, 1997	Ohba et al			
	BG	5,670,798	Sept 23, 1997	J. Schetzina			
	BH	3,699,478	Oct 12, 1972	Pinnow et al			
	BI	4,298,820	Nov 3 1981	Bongers et al			
	BJ	4,727,283	Feb 23, 1988	Van Kemenade et al			
	BK	3,453,604	Jul 1, 1969	Geusic et al			
	BL						
	BM	3,654,463	Apr 4, 1972	Geusic et al			
	BN	3,819,974	Jun 25, 1974	Stevenson et al			
	BO	3,942,185	Mar 2, 1976	J. Lebailly			
	BP	4,146,790	Mar 27, 1979	Goetzberger et al			
	BQ	3,691,482	Sept 12, 1972	Pinnow et al			
	BR	3,573,568	Jun 18, 1969	Harvey V. Siegel			
	BS	4,262,206	Apr 14, 1981	Viehmann			
	BT	4,173,495	Nov 6, 1979	Rapp et al			
	BU	3,510,732	May 5, 1970	Robert L. Amans			
	BV	3,529,200	Sept 15, 1970	Ralph M. Potter			
	BW	5,471,113	Nov 28, 1995	DeBacker et al			
	BX	4,716,337	Dec 29, 1987	Huiskes et al			
	BY	4,550,256	Oct 29, 1985	Berkstresser et al			
	BZ	6,078,063	Jun 20, 2000	Nakamura et al			
	BAA						

Examiner Signature

Date Considered

12/16/04

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449

U.S. Department of Commerce
Patent and Trademark Office

Attorney's Docket No.

12406-007002

Application No.

10/623,819

Information Disclosure Statement
by Applicant

(Use several sheets if necessary)

Applicant

Hohnet al.

Filing Date

July 21, 2003

Group Art Unit

(37 CFR 1.98(b))

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
Q	CA	5,184,114	Feb 2, 1993	Brown			
	CB	4,818,983	Apr 4, 1989	Hara et al			
	CC	4,431,941	Feb 14, 1984	Roy et al			
	CD	4,599,537	Jul 8, 1986	Yamashita			
	CE	5,035,513	Jul 30, 1991	Fehrenbach et al			

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	CF							
	CG							
	CH							
	CI							
	CJ							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	CK	
	CL	
	CM	
	CN	
Q	CO	Siemens Components 29.7/8 1991, pp. 147-149
Q	CP	Drafts of the Society for the Study of Fluorescent Materials, pp. 5-14
Q	CQ	Decision on Trial 11520/90 concerning JP5-152609
	CR	
Q	CS	Applied Physics Letters, "Candela-class high-brightness InGaN/AlGaIn double-heterostructure blue-light-emitting diodes", March 28, 1994, 64 (13), pp.1687-1689
Q	CT	J. Applied Physics, "Large-band gap SiC, III-V nitride, and II-VI Zn-Se-based semiconductor device technologies", August 1, 1994, 76 (3), pp.1363-1398
Q	CU	J. Vac. Sci. Technol., InGaN/AlGaIn blue-light emitting diode", May/June 1995, A13 (3), pp. 705-710

Examiner Signature

Date Considered


12/16/04

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-007002	Application No. 10/623,819
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR § 1.98(b))		Applicant Klaus Höhn et al.	
		Filing Date July 21, 2003	Group Art Unit

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	DA	
C	DB	Physical Review, "Frequency Upconversion in $\text{YF}_3:\text{Yb}^{3+}$, Tm^{3+} ", April 15, 1971, B3 (8), pp. 2698-2705
c	DC	J. Applied Physics, "Efficiency of Red, Green, and Blue Infrared-to-Visible Conversion Sources", April 1971, pp. 1958-1960
a	DD	English abstract of Japanese Laid-open Patent 10-179471, July 17, 1989
	DE	
a	DF	English abstract of Japanese Laid-open 07-099345, April 11, 1995
	DG	
C	DH	Translation of Japanese Laid-open Patent 08-7614, January 12, 1996
c	DI	Osinski, Marek, AlGaIn/GaN blue light emitting diode degradation under pulsed current stress, Applied Physics Letter. August 12, 1996, pp. 898-900
	DJ	
C	DK	D.J. Robbins: "The Effects of Crystal Field and Temperature on the Photoluminescence Excitation of Ce^{3+} in YAG", J. Electrochem. Soc.: Solid State Science and Technology 1979, Vol. 126, No. 9, pp. 1550-1555
o	DL	Glen A. Slack et al.: "Optical Absorption of $\text{Y}_3\text{Al}_5\text{O}_{12}$ from 10- to 55000-cm Wave Numbers", Physical Review, vol. 177, No.3, January 15, 1969, pp. 1308-1314
o	DM	Shuji Nakamura et al.: "The blue laser diode: GaN based Light emitters and lasers", Springer Verlag, Berlin, 1997, pp. 216-219, 328
o	DN	G. Blasse et al.: "A New Phosphor for Flying-Spot Cathode-Ray Tubes for Color Television: Yellow Emitting $\text{Y}^3\text{Al}_5\text{O}_{12}-\text{Ce}_3^+$ ", Applied Physics Letter, Vol. 11, No. 2, 15, pp. 53, 54
	DO	
o	DP	B.M.J. Smets: "Phosphors Based On Rare-Earths, A New Era in Fluorescent Lighting", Materials Chemistry and Physics, 16 (1987), pp.283-299
	DQ	
o	DR	Cheo et al.: "White Light Emitting glasses", Journal Solid State Chemistry, 1991, pp. 17-29
	DS	Sato et al.: "Full Color.....Diode", Jap. J. Applied Physics, Vol. 35, (1996), pp. L838-L839
o	DT	Siemens Forsch. - Entwickl. - Ber. Bd (1997), No. 3, p. 162 [Siemens Research and Development Reports], Vol. 6
o	DU	S.N. Mohammad et al.: "emerging gallium Nitride Based Devices", Proceeding of the IEEE, Vol. 83, No. 10, October 1995, pp. 1306-1355

Examiner Signature 	Date Considered 12/15/01
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449
(Modified)U.S. Department of Commerce
Patent and Trademark Office

Attorney's Docket No.

12406-007002

Application No.

10/623,819

Information Disclosure Statement
by Applicant

(Use several sheets if necessary)

Applicant

Klaus Höhn et al.

Filing Date

July 21, 2003

Group Art Unit

(37 CFR 1.98(b))

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	EA							
	EB							
	EC							
	ED							
	EE							
	EF	198585/1996		Japan (translation only)			X	
	EG	244339/1996		Japan (translation only)			X	
	EH	245381/1996		Japan (translation only)			X	
	EI	359004/1996		Japan (translation only)			X	
B	EJ	0936682	08/18/1999	EP				

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
B	EL	5,019,746	May 28, 1991	Merg			
	EM	5,120,214	June 30, 1992	Tokarlin			
	EN	3,593,055	July 13, 1971	Geusic			
	EO	5,535,230	July 9, 1996	Abe			
	EP	3,932,881	Jan 13, 1976	Mita			
	EQ	5,959,316	Sept 28, 1999	Lowery			
	ER						

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
B	ES	Translation of Japanese Laid-open Patent 50-43913, April 21, 1975

Examiner Signature

Date Considered

12/15/04

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute Form PTO-1449 (modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR 1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-007002	Application No. 10/623,899
	Applicant Klaus Höhn et al.		
	Filing Date July 21, 2003	Group Art Unit	

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
B	AAA	5,744,233	04/28/1998	Opitz et al.	428	328	


Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
B	AAB	2-138361	05/28/1990	Japan			Yes	
B	AAC	49-24355	03/04/1974	Japan			Yes	
B	AAD	64-071053	03/16/1989	Japan			Yes	
	AAE							
	AAF							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
B	AAG	Hakkoutai Dougaku-Kai (ed.), "Keikoutai Handbook" (Handbook on Fluorescent Materials), 1 st edition, published December 25, 1987, pp. 275-277.
B	AAH	Nikkei Sangyou Shimbun (Nikkei Industrial Newspaper), September 13, 1996, first sheet, "White LED lamps"
B	AAI	Translation of June 5, 2001 Office Action in Japanese Patent Application 10-514190.
B	A AJ	Preliminary Decision on Demand for Trial of JP 2,927,279

20306969.doc

Examiner Signature 	Date Considered 12/15/04
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not consid red. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-007002	Application No. 10/623,819
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Klaus Höhn et al.	
		Filing Date July 21, 2003	Group Art Unit



U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
	AE						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AF							
C	AG	JP 2-91980	03/1990	Japan	33	00	Yes	
	AH							
	AI							
	AJ							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
G	AK	Product Information - Philips Lighting, Fluorescent Powder, 1990
	AL	
G	AM	Translation of the newspaper "Nikkei Sangyo Shimbun", issued on September 13, 1996, <u>White-LED Lamp Efficient Light Emission Half a Production Cost</u> , Nichia Chemical
G	AN	"Phosphor Handbook", Ohm 1987, S. 166-175, 268-276.
	AO	
	AP	
	AQ	
	AR	
	AS	

Examiner Signature 	Date Considered 12/16/04
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Mandatory)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-007001	Application No. 12/623,819
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR § 1.8(b))		Applicant Klaus Höhn et al.	
		Filing Date July 21, 2003	Group Art Unit

U.S. Patent Documents


Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	B AA						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	B AB							
	B AC							
	B AD							
Q	B AE	6-69546	03/11/1994	Japan			X	
Q	B AF	11-220174	08/10/1999	Japan			X	

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
Q	B AG	English Translation of Japanese 01175103 A, July 11, 1989.
Q	B AH	English Translation of Japanese 01260707 A, October 18, 1989.
Q	B AI	Phosphor Handbook, English Translation of (BAJ)
Q	B AJ	"Phosphor Handbook", Ohm 1987, pp. 275-276, 383.
	B AK	
	B AL	
Q	B AM	"Phosphor and Emitter", Osram GmbH, June 1997.
	B AN	
	B AO	
Q	B AP	English Translation of Japanese Patent Application No. 018010, Filed March 31, 1997, Nichia Chemical Industries Ltd.

Examiner Signature 	Date Considered 12/15/07
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449

U.S. Department of Commerce
Patent and Trademark Office

Attorney's Docket No.

12406-007002

Application No.

10/623,819

Information Disclosure Statement
by Applicant

(Use several sheets if necessary)

Applicant

Klaus Höhn et al.

Filing Date

July 21, 2003

Group Art Unit

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
	C AA						
	C AB						
	C AC						

Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	C AD							
	C AE							
	C AF							
	C AG							
	C AH							

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	C AI	
	C AJ	
	C AK	English translation of Nikkei electronics, September 23, 1996, no. 671, "Nichia Chemical starts the sample shipment of white Light Emitting Diode".
	C AL	
	C AM	Schlotter, P. et al., "Luminescence conversion of blue light emitting diodes", <i>Applied Physics A</i> , vol. 64, February 27, 1997, pp. 417-418.
	C AN	
	C AO	
	C AP	Material Safety Data Sheet, pp. 1 and 2, and Lamp Phosphor Data Sheet of Phosphor NP-204 of Nichia Corporation.
	C AQ	
	C AR	
	C AS	
	C AT	

Examiner Signature

Date Considered

12/15/04

EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

U.S. Patent Documents

Foreign Patent Documents or Published Foreign Patent Applications

Other Documents (include Author, Title, Date, and Place of Publication)

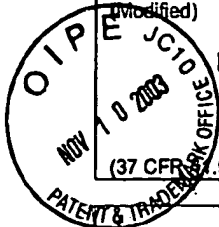
Examiner Signature

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Date Considered

12/15/04

Substitute Disclosure Form (PTO-1449)



Substitute Form PTO-1449 (modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-007002	Application No. 10/623,819
Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR 1.98(b))		Applicant Klaus Hohn et al.	
		Filing Date July 21, 2003	Group Art Unit

Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	
C	AV	Translation of Japan 52-40959 (previously submitted)

Examiner Signature 	Date Considered 12/15/04
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified) FEB 19 2003 Information Disclosure Statement by Applicant (Use separate sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 12406-007002	Application No. 10/623,819
	Applicant Klaus Hohn et al.		
	Filing Date July 21, 2003	Group Art Unit	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
<u>B</u>	AA	5,424,573	06/13/1995	Kato et al.			
<u>G</u>	AB	5,432,358	07/11/1995	Nelson et al.			
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
<u>B</u>	AQ	Abstract of JP 4110236, April 10, 1992, Japan.
<u>B</u>	AR	Abstract of JP 6085314, March 25, 1994, Japan.
	AS	
	AT	

Examiner Signature <u>[Signature]</u>	Date Considered 12/15/04
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	